

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Atty Ref/Docket No.: 1310.002US1

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Karen Duff

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other

Execution Date: June 16, 2006

2. Name and address of receiving party(ies):

Name: Research Foundation for Mental Hygiene, Inc.

Street Address: 150 Broadway, Suite 301

City: Menands State: NY Zip: 12204

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 10/620,840, filed July 16, 2003

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Janet E. Embretson

Address:

Schwegman, Lundberg, Woessner & Kluth, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):\$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any over payments to our Deposit account number: 19-0743

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Janet E. Embretson/Reg. No. 39,665

Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 3

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## ASSIGNMENT

WHEREAS, I, Karen Duff, residing at Bldg. 1 Washington Square Village, Apt. 6J, New York, NY 10012, made certain new and useful inventions and improvements for which I filed an application for Letters Patent of the United States on July 16, 2003, which application was assigned U.S. patent application serial number 10/620,840, and is entitled TRANSGENIC MICE COMPRISING A GENOMIC HUMAN TAU TRANSGENE;


AND WHEREAS, Research Foundation for Mental Hygiene, Inc., a corporation organized and existing under and by virtue of the laws of the State of New York, and having an office and place of business at 150 Broadway, Suite 301, Menands, NY 12204 (hereinafter "Assignee"), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, I have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted there from, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted there from; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, I do hereby agree that I and my executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to me relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore, I covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 16 day of  
JUNE, 2006.

  
\_\_\_\_\_  
Karen Duff

STATE OF New York )  
 )ss  
COUNTY OF Rockland )

On this 16<sup>th</sup> day of June, 2006 before me personally appeared Karen Duff, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

  
\_\_\_\_\_  
Notary Public

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CYNTHIA A. RICKEY  
Notary Public - State of New York  
No. 01RI6125052  
Qualified in Rockland County  
Commission Expires on April 4, 2009

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Atty Ref/Docket No.: 1310.002US1

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Peter Davies

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other

Execution Date: June 21, 2006

2. Name and address of receiving party(ies):

Name: Albert Einstein College of Medicine of Yeshiva University

Street Address: 1300 Morris Park Avenue

City: Bronx State: NY Zip: 10461

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 10/620,840, filed July 16, 2003

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Janet E. Embretson

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Janet E. Embretson/Reg. No. 39,665

Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 3

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## ASSIGNMENT

WHEREAS, I, Peter Davies, residing at 40 Claremont Avenue, Rye, NY 10580, made certain new and useful inventions and improvements for which I filed an application for Letters Patent of the United States on July 16, 2003, which application was assigned U.S. patent application serial number 10/620,840, and is entitled TRANSGENIC MICE COMPRISING A GENOMIC HUMAN TAU TRANSGENE:

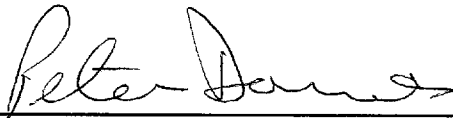
AND WHEREAS, Albert Einstein College of Medicine of Yeshiva University, a corporation organized and existing under and by virtue of the laws of the State of New York, and having an office and place of business at 1300 Morris Park Avenue, Bronx, NY 10461 (hereinafter "Assignee"), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, I have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted there from, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted there from; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, I do hereby agree that I and my executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to me relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore, I covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

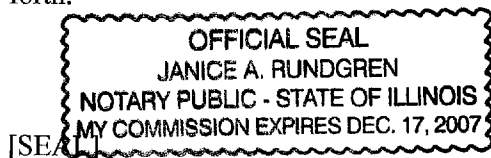
IN TESTIMONY WHEREOF, I have hereunto set my hand this 21 day of  
June, 2006.

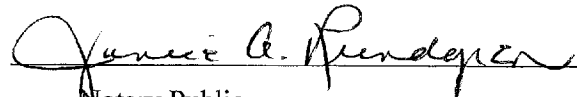
  
\_\_\_\_\_

Peter Davies

STATE OF ILLINOIS )  
 )ss  
COUNTY OF LAKE )

On this 21<sup>st</sup> day of JUNE, 2006 before me personally appeared Peter Davies, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.



  
\_\_\_\_\_  
Notary Public

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